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NATIONAL ARCHIVES AND RECORDS ADMINISTRATION (NARA)
2021 RECORDS MANAGEMENT SELF-ASSESSMENT

Welcome to the 2021 Records Management Self-Assessment!

Before you begin, please note the following information.

Except where indicated, the questions in this survey are intended to cover all records regardless of format, as defined in 44 U.S.C. 3301.

The questions apply regardless of whether your agency's work processes are conducted manually or electronically.

Your answers to the self-assessment questions must be specific to records management activities in your agency. We have added a "Not Applicable" answer option to some questions. In general, use this option only if a question references an activity or action that is not conducted in your agency because of its size or if you are a Departmental Records Officer and are not responsible for the activity or action. In some cases, if the activity is being done by a departmental records management program, component agencies of that department may answer "Yes."

NOTE: Please note that your responses to questions in this assessment may be subject to public release pursuant to the Freedom of Information Act (FOIA). However, we will not release responses to questions that contain detailed descriptions of agency activities.

NARA reserves the right to follow up with agencies to obtain additional information and/or documentation that supports their answers to the questions in this self-assessment.

As in previous years we will be conducting a validation process. Your agency may be selected at random to provide additional documentation and/or take part in interviews to discuss your records management program activities.

If you have any questions about this self-assessment or need additional information to answer a question(s), please contact us at rmselfassessment@nara.gov.

. **Please do not skip this section. This is your only chance to enter your contact information and the agency for which you are responding.**

Please enter your contact information below.

First Name:	John
Last Name:	Ellis
Job Title:	Agency Records Officer
Email Address:	ellis.john@epa.gov
Phone Number:	202-566-1643

. Please select the agency and, if applicable, component or subordinate agency for which you are reporting by clicking on the drop down arrows below.

Department or Independent Agency [Environmental Protection Agency ⌄]
Component or Subordinate Agency [⌄]

. **PLEASE NOTE: If you need to exit the survey before completing each Section, you MUST click on the NEXT button at the bottom of the Section before exiting to ensure your answers to that point are saved.**

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Section I: Management Support and Resourcing

Management support and a strong positioning of an agency's records management program in the organizational structure is key to program success. This section includes questions related to the areas that support the records management program including responsibilities, internal controls, performance management, training, monitoring of program implementation, and the records of senior officials and executives.

The following series of questions relates to RM Program leadership.

. Q1. Is there a person in your agency who is responsible for coordinating and overseeing the implementation of the records management program? (36 CFR 1220.34(a))

- ● Yes
- ○ No
- ○ Do not know

. Q2. Please provide the person's name, position title, and office.

John B. Ellis, Agency Records Officer, Office of Mission Support, Environmental Protection Agency (EPA)

. Q3. Does your agency have a Senior Agency Official for Records Management (SAORM)? (For components of a department this is most likely at the department level, and you may answer "Yes," even if this is not being done at the component level.)

- ● Yes
- ○ No
- ○ Do not know
- ○ Not applicable, not an Executive Branch Agency

. Q4. Does your Agency Records Officer meet regularly (four or more times a year) with the SAORM to discuss the agency records management program's goals? (For components of a department, this is most likely at the department level.)

- ⦿ Yes
- ○ No
- ○ Do not know

. Q5. Does your agency have a network of designated employees within each program and administrative area who are <u>assigned</u> records management responsibilities? These individuals are often called Records Liaison Officers (RLOs), though their titles may vary. (36 CFR 1220.34(d))

- ⦿ Yes
- ○ No
- ○ Do not know
- ○ Not applicable, agency has less than 100 employees
- ○ Not applicable, Departmental Records Officer - this is done at the component level

. **Click Next to save your current answers and move to Section I: Management Support and Resourcing - RM Program Controls, Monitoring and Oversight.**

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The following series of questions relates to RM Program Controls, Monitoring and Oversight.

Agency records management programs must provide for effective controls over the creation, maintenance, and use of records in the conduct of current business. (36 CFR 1220.30(c)(1))

Internal controls are integral components of an organization's management that provides reasonable assurance of the effectiveness and efficiency of operations; reliability of financial reporting; and compliance with applicable laws and regulations. ("Standards for Internal Control in the Federal Government" (GAO-14-704G), U.S. Government Accountability Office, September 2014.)

Internal controls are:

- *Geared to the achievement of objectives in one or more categories—operations, reporting, and compliance;*
- *Processes consisting of ongoing tasks and activities—a means to an end, not an end in itself;*
- *Carried out by people—not merely about policy and procedure manuals, systems, and forms, but about people and the actions they take at every level of an organization to effect internal control;*
- *Able to provide reasonable assurance, but not absolute assurance, to an entity's senior management;*
- *Adaptable to the organization's entire structure—flexible in application for the entire entity or for a particular regional office, division, operating unit, or business process.*

Control activities occur throughout the organization, at all levels and in all functions. They include a range of activities as diverse as approvals, authorizations, verifications, reconciliations, reviews/audits of operating performance, security of assets (limited access to inventories or equipment), and segregation of duties (separate personnel with authority to authorize a transaction, process the transaction, and review the transaction). Monitoring the effectiveness of internal controls should occur in the normal course of business.

Periodic assessments should be integrated as part of management's continuous monitoring of internal control, which should be ingrained in the agency's operations. ("2013 Internal Control - Integrated Framework," Committee of Sponsoring Organizations (COSO) Executive Summary, May 14, 2013; and OMB Circular A-123, "Management's Responsibility for Enterprise Risk Management and Internal Control," July 15, 2016.)

. Q6. <u>In addition to</u> your agency's established records management policies and records schedules, has your agency's records management program developed and implemented internal controls to ensure that all eligible, permanent agency records in all media are transferred to NARA according to approved records schedules? (36 CFR 1222.26(e))

**These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

*Examples of records management internal controls include but are not limited to:

- Regular briefings and other meetings with records creators
- Monitoring and testing of file plans
- Regular review of records inventories
- Internal tracking database of permanent record authorities and dates

- ⦿ Yes
- ○ No
- ○ No, pending final approval
- ○ No, under development
- ○ Do not know

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Q7. <u>In addition to</u> your agency's established policies and records schedules, has your agency developed and implemented internal controls to ensure that federal records are not destroyed before the end of their retention period? (36 CFR 1222.26(e))

**These controls must be internal to your agency. Reliance on information from external agencies (e.g., NARA's Federal Records Centers) or other organizations should not be considered when responding to this question.

*Examples of records management internal controls include but are not limited to:

- Regular review of records inventories
- Approval process for disposal notices from off-site storage
- Require certificates of destruction
- Monitoring shredding services
- Performance testing for email
- Monitoring and testing of file plans
- Pre-authorization from records management program before records are destroyed
- Ad hoc monitoring of trash and recycle bins
- Notification from facilities staff when large trash bins or removal of boxes are requested
- Annual records clean-out activities sponsored and monitored by records management staff

- ⦿ Yes
- ○ No
- ○ No, pending final approval

○ No, under development

○ Do not know

.

Q8. <u>In addition to</u> your agency's records management policies and records schedules, has your agency developed and implemented internal controls to ensure that all permanent records are created/captured, classified, filed and managed according to their NARA-approved records schedules? (36 CFR 1220.34(i))

◉ Yes

○ No

○ To some extent

○ Do not know

.

An essential control for any records management program is the establishment of performance goals and associated performance targets and performance measures.

Performance goals are the target levels of performance. Performance goals should be specific, measurable, attainable, results-oriented, and time-bound.

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Q9. Has your agency established performance goals for its records management program?

*Examples of performance goals include but are not limited to:

- Identifying and scheduling all paper and non-electronic records by the end of DATE
- Developing computer-based records management training modules by the end of DATE
- Planning and piloting an electronic records management solution for email by the end of DATE
- Updating records management policies by the end of the year
- Conducting records management evaluations of at least one program area each quarter

◉ Yes

○ No

○ Pending final approval

○ Currently under development

○ Do not know

.

Performance measures are the indicators or metrics against which a program's performance can be gauged. Performance measures should provide a basis for comparing actual results with established performance goals. ("Performance Measurement Challenges and Strategies," June 18, 2003, white paper associated with the Office of Management and Budget's Program Assessment Rating Tool (PART); and "Government Performance and Results Modernization Act of 2010," Section 4, Performance Reporting Amendments. See also https://www.performance.gov/.)

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Q10. Has your agency's records management program identified performance measures for records management activities such as training, records scheduling, permanent records transfers, etc.?

*Examples of performance measures include but are not limited to:

- Percentage of agency employees that receive records management training in a year
- A reduction in the volume of inactive records stored in office space
- Percentage of eligible permanent records transferred to NARA in a year
- Percentage of records scheduled
- Percentage of offices evaluated/inspected for records management compliance
- Percentage of email management auto-classification rates
- Development of new records management training modules
- Audits of internal systems
- Annual updates of file plans
- Performance testing for email applications to ensure records are captured
- Percentage of records successfully retrieved by Agency FOIA Officer in response to FOIA requests

- ◉ Yes
- ○ No
- ○ Pending final approval
- ○ Currently under development
- ○ Do not know

.

An evaluation is an inspection, audit, or review of one or more records management programs for effectiveness and for compliance with applicable laws and regulations. An evaluation contains recommendations for correcting or improving records management practices, policies, and procedures as well as follow-up activities, including reporting on and implementing recommendations. Evaluations may be comprehensive (agency-wide) or specific to a program area or organizational unit. (36 CFR 1220.18)

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Q11. Does your agency evaluate, by conducting inspections/audits/reviews, its records management program to ensure that it is efficient, effective, and compliant with all applicable records management laws and regulations? (36 CFR 1220.34(j))

**For this question, your agency's records management program, or a major component of the program (e.g., vital records identification and management, the records disposition process, records management training, or the management of your agency's electronic records) must be the primary focus of the inspection/audit/review.

- ◉ Yes, evaluations are conducted by the Records Management Program
- ○ Yes, evaluations are conducted by the Office of Inspector General
- ○ Yes, evaluations are conducted by the Records Management Program AND the Office of Inspector General
- ○

Yes, evaluations are conducted by:

[text box]

○ No, please explain

[text box]

○ Do not know

. Q12. How often does your agency conduct formal evaluations of a major component of your agency (i.e., programs or offices)?

○ Annually
○ Biennially
○ Once every 3 years
◉ Ad hoc
○ Do not know
○ Not applicable, agency does not evaluate its records management program

. Q13. Was a formal report written and subsequent plans of corrective action created and monitored for implementation as part of the most recent inspection/audit/review? (Choose all that apply)

☑ Yes, formal report was written
☐ Yes, plans of corrective action were created
☐ Yes, plans of corrective action were monitored for implementation
☐ No
☐ Do not know
☐ Not applicable, agency does not evaluate its records management program
☐ Not applicable, agency has less than 100 employees

.. Click Next to save your current answers and move to Section I: Management Support and Resourcing - RM Training.

.. The following series of questions relates to records management training.

.. Q14. Has your Agency Records Officer obtained NARA's Certificate of Federal Records Management Training or the Agency Records Officer Credential (AROC)?

- ⦿ Yes, NARA's Certificate of Federal Records Management Training
- ○ Yes, NARA's Agency Records Officer Credential
- ○ In Progress
- ○ No
- ○ Do not know

.
Formal records management training is the communication of standardized information that improves the records management knowledge, skills, and/or awareness of agency employees. Training can be either in a classroom setting or distance-based (e.g., web-based training), but it must:

- *be regular (occurring more than just once);*
- *be repeatable and formal (all instructors must provide the same message, not in an ad hoc way); and*
- *communicate the agency's vision of records management.*

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Q15. Does your agency have internal records management training*, based on agency policies and directives, for employees assigned records management responsibilities? (36 CFR 1220.34(f))

*Includes NARA's records management training workshops that were **customized** specifically for your agency or use of an **agency-customized** version of the Federal Records Officer Network (FRON) RM 101 course.

- ⦿ Yes
- ○ No
- ○ No, pending final approval
- ○ No, under development
- ○ Do not know

.
Q16. Has your agency developed mandatory internal, staff-wide, formal training*, based on agency policy and directives, covering records in all formats, including electronic communications such as email, text messages, chat, or other messaging platforms or apps, such as social media or mobile device applications, which helps agency employees and contractors fulfill their recordkeeping responsibilities?** (36 CFR 1220.34(f))

*Includes NARA's records management training workshops that were **<u>customized</u>** specifically for your agency or use of an **<u>agency-customized</u>** version of the Federal Records Officer Network (FRON) RM 101 course.

**Components of departmental agencies may answer "Yes" if this is handled by the department. Department Records Officers may answer "Yes" if this is handled at the component level.

- ⦿ Yes
- ○ No
- ○ No, pending final approval
- ○ No, under development
- ○ Do not know

.. **Click Next to save your current answers and move to Section I: Management Support and Resourcing - Senior Officials.**

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The following series of questions relates to Senior Officials.

Senior officials are the heads of departments and independent agencies; their deputies and assistants; the heads of program offices and staff offices including assistant secretaries, administrators, and commissioners; directors of offices, bureaus, or equivalent; principal regional officials; staff assistants to those aforementioned officials, such as special assistants, confidential assistants, and administrative assistants; and career federal employees, political appointees, and officers of the Armed Forces serving in equivalent or comparable positions. (General Records Schedule (GRS) 6.1, item 010)

Note: This applies to all senior officials within an agency - NOT just the Senior Agency Official for Records Management.
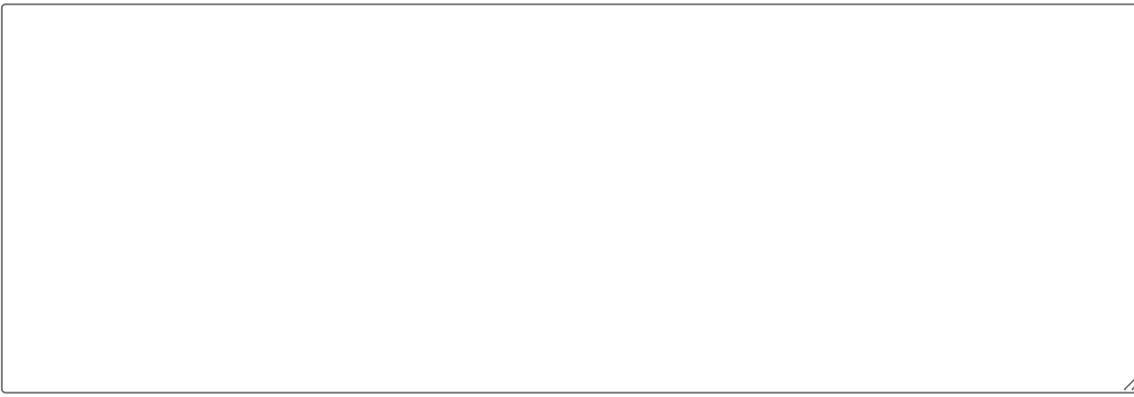
. Q17. Does your agency <u>require</u> that all senior and appointed officials, including those incoming and newly promoted, receive training on the importance of appropriately managing records under their immediate control? (36 CFR 1220.34(f))

- ⦿ Yes
- ○ No
- ○ Do not know

. Q18. Does your agency conduct and document for accountability purposes training and/or other briefings as part of the on-boarding process for senior officials on their records management roles and responsibilities, including the appropriate disposition of records and the use of personal and unofficial email accounts? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))

- ⦿ Yes
- ○ Yes, but not documented
- ○ No
- ○ Do not know

○ Not applicable, please explain

[text area]

.
Q19. Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in on-boarding briefings or other processes for newly appointed senior officials?

◉ Yes

○ No, please explain

[text area]

○ Do not know

. Q20. Does your agency conduct and document for accountability purposes exit briefings for departing senior officials on the appropriate disposition of the records, including email, under their immediate control? (36 CFR 1222.24(a)(6) and 36 CFR 1230.10(a & b))
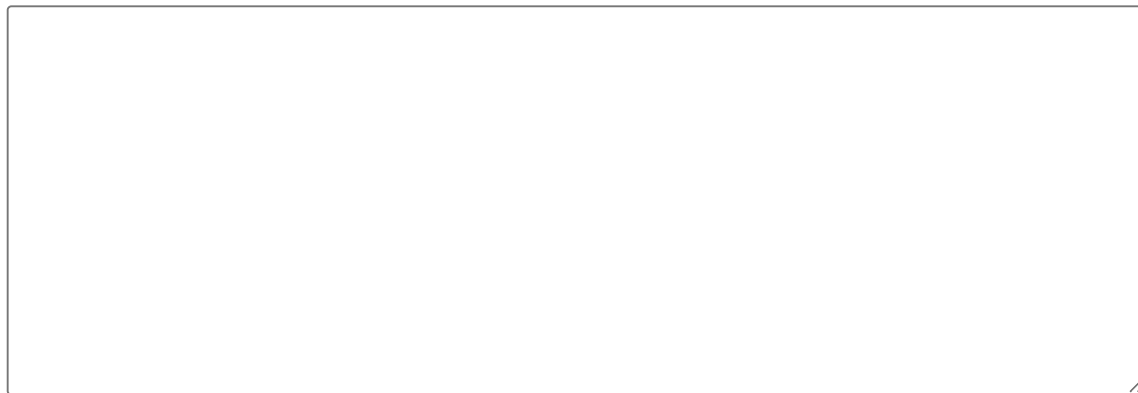
◉ Yes

○ Yes, but not documented

○ No

○ Do not know

○

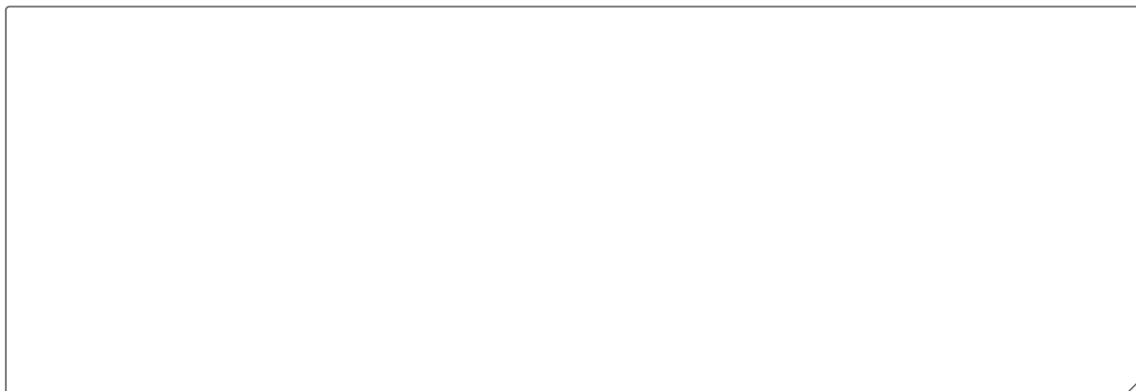Not applicable, please explain

[text area]

. Q21. Is the Agency Records Officer and/or Senior Agency Official for Records Management involved in exit briefings or other exit clearance processes for departing senior officials?

- ◉ Yes
- ○ No
- ○ Do not know

. Q22. Does the exit or separation process for departing senior officials include records management program staff or other designated official(s) reviewing and approving the removal of personal papers and copies of records by those senior officials? (36 CFR 1222.24(a)(6))

- ◉ Yes
- ○ No, please explain

[text area]

- ○ Do not know

. Q23. Which of the following stakeholders significantly impact and/or support your RM program? (Choose all that apply)

- ☑ Chief Information Officer
- ☐ Chief Financial Officer
- ☐ Chief Management Officer
- ☐ Chief Data Officer

- ☑ Office of the General Counsel
- ☑ FOIA Officer
- ☑ Records Managers and/or Records Liaison Officers (or equivalent)
- ☑ Program Managers and/or Supervisors
- ☑ Other, please explain

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Record Contacts and Records Community Network
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. Q24**.** Please add any additional comments about your agency for Section I. (Optional)

‥ **Click Next to save your current answers and move to Section II: Policies.**

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Section II: Policies

A successful records management program has a governance framework, articulated policy, and clear standards. For electronic records management this is particularly important due to fragility, security vulnerabilities, and other unique characteristics of electronic records. This section covers records management directives and specific policies necessary for records management.

. Q25. Does your agency have a **documented and approved** records management directive(s)? (36 CFR 1220.34(c))

- ◉ Yes
- ○ No, pending final approval
- ○ No, under development

○ No

○ Do not know

. Q26. When was your agency's directive(s) last reviewed and/or revised to ensure it includes all new records management policy issuances and guidance?

◉ FY 2021 - present

○ FY 2019 - 2020

○ FY 2017 - 2018

○ FY 2016 or earlier

○ Do not know

○ Not applicable, agency does not have a records management directive

. Q27. Does your agency's records management program have **documented and approved** policies and procedures that instruct staff on how your agency's permanent records in all formats must be managed and stored? (36 CFR 1222.34(e))

◉ Yes

○ No

○ No, pending final approval

○ No, under development

○ Do not know

. Q28. Does your agency have **documented and approved** policies against unauthorized use, alteration, alienation or deletion of all electronic records?

◉ Yes

○ No

○ No, pending final approval

○ No, under development

○ Do not know

. Q29. Does your agency have **documented and approved** policies for cloud service use that includes recordkeeping requirements and handling of federal records?

◉ Yes

○ No

○ No, pending final approval

○ No, under development

○ Do not know

. Q30. Does your agency have **documented and approved** policies and procedures in place to manage email records that have a retention period longer than 180 days? (36 CFR 1236.22)

- ◉ Yes
- ○ No, pending final approval
- ○ No, under development
- ○ No, please explain

[text box]

- ○ Do not know

. Q31. Does your agency have **documented and approved** policies and procedures to implement the guidelines for the transfer of permanent email records to NARA described in NARA Bulletin 2014-04: Revised Format Guidance for the Transfer of Permanent Electronic Records – Appendix A: Tables of File Formats, Section 9 - Email? (36 CFR 1236.22(e))

- ◉ Yes
- ○ No
- ○ No, pending final approval
- ○ No, under development
- ○ Do not know

.
Regardless of how many federal email accounts individuals use to conduct official business, agencies must ensure that all accounts are managed, accessible and identifiable according to federal recordkeeping requirements. (36 CFR 1236.22)

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Q32. Does your agency have **documented and approved** policies that address when employees have more than one agency-administered email account, **whether or not allowed**, that states that email records must be preserved in an appropriate agency recordkeeping system? (36 CFR 1236.22)

*Examples of business needs may include but are not limited to:
- Using separate accounts for public and internal correspondence
- Creating accounts for a specific agency initiative which may have multiple users
- Using separate accounts for classified information and unclassified information

- ◉ Yes

○ No

○ No, pending final approval

○ No, under development

○ Do not know

. Q33. Does your agency have **documented and approved** policies that address the use of personal email accounts, **whether or not allowed**, that state that all emails created and received by such accounts must be preserved in an appropriate agency recordkeeping system and that a complete copy of all email records created and received by users of these accounts must be forwarded to an official electronic messaging account of the officer or employee no later than 20 days after the original creation or transmission of the record? (36 CFR 1236.22(b) and P.L. 113-187)

◉ Yes

○ No

○ No, pending final approval

○ No, under development

○ Do not know

. Q34. Does your agency evaluate, monitor, or audit staff compliance with the agency's email preservation policies? (36 CFR 1220.18)

◉ Yes

○ No

○ Do not know

. Q35. Please add any additional comments about your agency for Section II. (Optional)

.. **Click Next to save your current answers and move to Section III: Systems.**

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Section III: Systems

Electronic information system means an information system that contains and provides access to computerized federal records and other information. (36 CFR 1236.2)

The following types of records management controls are needed to ensure that federal records in electronic information systems can provide adequate and proper documentation of agency business for as long as the information is needed. Agencies must incorporate controls into the electronic information system or integrate them into a recordkeeping system that is external to the information system itself. (36 CFR 1236.10)

(a) Reliability: Controls to ensure a full and accurate representation of the transactions, activities or facts to which they attest and can be depended upon in the course of subsequent transactions or activities.

(b) Authenticity: Controls to protect against unauthorized addition, deletion, alteration, use, and concealment.

(c) Integrity: Controls, such as audit trails, to ensure records are complete and unaltered.

(d) Usability: Mechanisms to ensure records can be located, retrieved, presented, and interpreted.

(e) Content: Mechanisms to preserve the information contained within the record itself that was produced by the creator of the record.

(f) Context: Mechanisms to implement cross-references to related records that show the organizational, functional, and operational circumstances about the record, which will vary depending upon the business, legal, and regulatory requirements of the business activity.

(g) Structure: Controls to ensure the maintenance of the physical and logical format of the records and the relationships between the data elements.

. Q36. Has your agency incorporated and/or integrated internal controls to ensure the reliability, authenticity, integrity, and usability of agency electronic records maintained in electronic information systems? (36 CFR 1236.10)
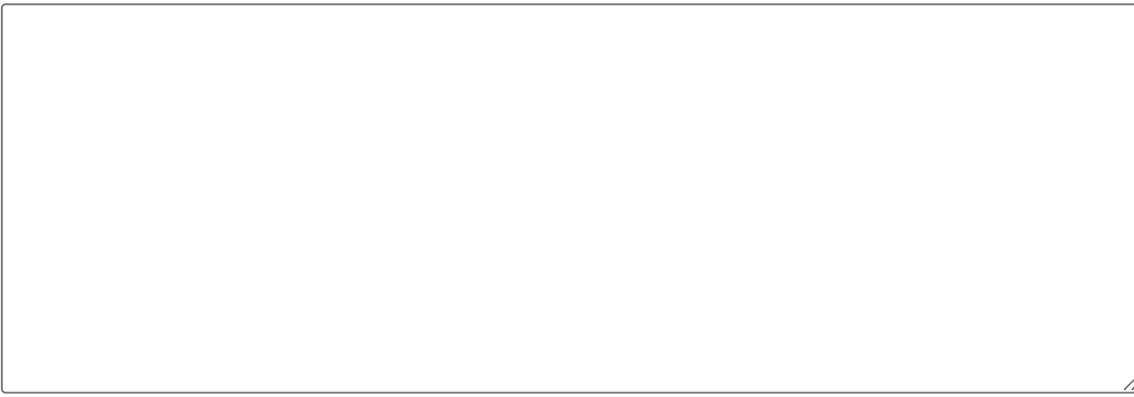
◉ Yes

○ To some extent

○ No

○ Do not know

○ Not applicable, please explain

[text box]

. Q37. Does your agency maintain an inventory of electronic information systems that indicates whether or not each system is covered by an approved NARA disposition authority? (36 CFR 1236.26(a))

◉ Yes

○ No, please explain

[text box]

○ Do not know

. Q38. Does your agency have a digitization strategy to reformat permanent records created in hard copy or other analog formats (e.g., microfiche, microfilm, analog video, and analog audio)?

◉ Yes
○ To some extent
○ No
○ Do not know

. Q39. Does your agency's email system(s) retain the intelligent full names in directories or distribution lists to ensure identification of the sender and addressee(s) for those email messages that are federal records? (36 CFR 1236.22(a)(3))

◉ Yes
○ No
○ Do not know

. Q40. What method(s) does your agency employ to capture and manage email records? (Choose all that apply)

☑ Captured and stored in an email archiving system
☑ Captured and stored in an electronic records management system
☑ Captured and stored as personal storage table (.PST) files
☐ Captured and stored using cloud services with records management included
☐ Captured and stored using cloud services but records management IS NOT included
☐ Print and file
☐ Not captured and email is managed by the end-user in the native system
☑

Other, please be specific:

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Capstone Approach
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Q41. What new method(s) to create and maintain data are being explored and/or employed by your agency that will impact records management? (Choose all that apply)

(For more information on these topics see: https://www.archives.gov/files/records-mgmt/policy/nara-cognitive-technologies-whitepaper.pdf.)

- ☐ Smart devices
- ☐ Sensors that collect and transmit data
- ☐ Geographic Information Systems
- ☐ Robotic Process Automation
- ☐ Software Robot or Bot
- ☑ Supervised Machine Learning
- ☐ Unsupervised Machine Learning
- ☐ Reinforced Machine Learning
- ☑ Standard Artificial Intelligence
- ☑ Open-source Artificial Intelligence
- ☑ Auto-classification
- ☑ Other, please be specific:

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Regular expression matching for identifier extraction.
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- ☐ My agency is not exploring and/or employing new methods

. Q42. Please add any additional comments about your agency for Section III. (Optional)

EPA is undertaking an effort to develop specific training data related to each record schedule used within the Agency. The training data is used to feed a supervised machine learning model that is able to provide 3 record schedule predictions after analyzing the text of unstructured documents that are flagged as records. A thin client is being built that will sit on all EPA computers and will allow end users to drag and drop records or flag emails to be saved as a record. The thin client will leverage the supervised machine learning model to present users with record schedule predictions allowing them to make an inform decision when assigning a record schedule to their records. The record schedule along with other NARA required metadata will be collected by the thin client and sent to the electronic records repository (ECMS).

.. **Click Next to save your current answers and move to Section IV: Access.**

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Section IV: Access

Records support an agency's ability to carry out its business functions. Access to records means they remain usable, retrievable, and protected throughout their lifecycle. This section contains questions relating to the access and usability of records to conduct agency business in accordance with the appropriate transfer and disposition schedule and that ensures records are searchable, retrievable, and usable for as long as they are maintained in agency custody.

The following series of questions relates to the impact of the COVID-19 pandemic on access to records.

. Q43. Has the COVID-19 pandemic disrupted your agency's ability to access records?

- ◉ Yes
- ○ No
- ○ Do not know

. Q44. Please provide details on the impact of the COVID-19 pandemic and what your agency has done to mitigate the circumstances.

Because of COVID-19 instances at EPA, there have been circumstances where staff could not access paper records because of the closure of certain sections of the building. In some cases, such as FOIA requests, EPA had to explain the situation to requesters and inform them that responses will be delayed until access to the building/ records are granted. In situations where staff could get limited access to the building, they were required to request permission and inform management exactly what areas of the building they needed to access and for how long. For records under the agency's legal custody but stored in the Federal Record Centers, there were delays in getting requested records. On several occasions the EPA had to submit an emergency request for records.

.. **Click Next to save your current answers and move to Section IV: Access - Vital or Essential Records.**

.
The following series of questions relates to Vital or Essential records.

Vital records* (also known as Essential Records) are records needed to meet operational responsibilities under national security emergencies or other emergency conditions (emergency operating records) or to protect the legal and financial rights of the Government and those affected by Government activities (legal and financial rights records). (36 CFR 1223.2)

*pending updates to regulations, the Records Management Self-Assessment still uses this terminology

A program area is responsible for mission-related activities. An administrative area is responsible for activities not specific to the mission of the agency. (36 CFR 1220.34(d))

.
Q45. Has your agency identified the vital records of all its program and administrative areas? (36 CFR 1223.16)

*Components of departmental agencies may answer "Yes" if this is handled by the department.

- ◉ Yes
- ○ No
- ○ Do not know

. Q46. How often does your agency review and update its vital records inventory? (36 CFR 1223.14)

- ◉ Annually
- ○ Biennially
- ○ Once every 3 years
- ○ Ad hoc
- ○ Never
- ○ Do not know

. Q47. Is your vital records plan part of the Continuity of Operations (COOP) plan? (36 CFR 1223.14 and Federal Continuity Directive, Annex 1)

- ◉ Yes
- ○ No
- ○ Do not know

.
The following questions relate to retrieval and access.

. Q48. Are records and information in your agency easily retrievable and accessible when needed for agency business? (36 CFR 1220.32(c))

○ All records are easily retrieved and accessed when needed
◉ Most records can be retrieved and accessed in a timely manner
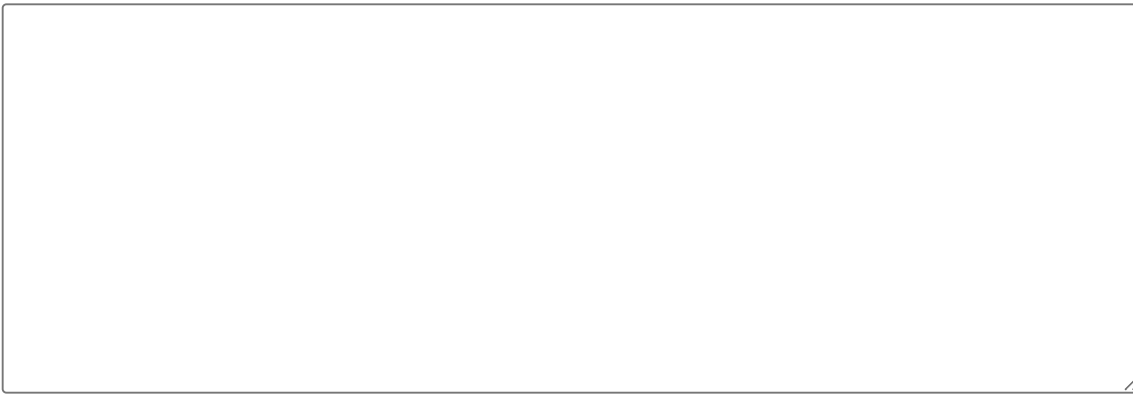○ Some records can be retrieved and accessed in a timely manner
○ No
○ Do not know

.
Q49. Does your agency ensure that records management functionality, including the capture, retrieval, and retention of records according to agency business needs and NARA-approved records schedules, is incorporated into the design, development, and implementation of its electronic information systems? (36 CFR 1236.12)

*Components of departmental agencies may answer "Yes" if this is handled by the department.

◉ Yes
○ No, please explain

○ Do not know
○

Not applicable, please explain

[text box]

.. Click Next to save your current answers and move to Section IV: Access - Migration

.
The following question relates to migration.

Migration is a set of organized tasks designed to achieve periodic transfer of digital materials from one hardware/software configuration to another, or from one generation of computer technology to a subsequent generation.

Metadata consists of preserved contextual information describing the history, tracking, and/or management of an electronic document. (36 CFR 1236.2)

. Q50. Does your agency have **documented and approved** procedures to enable the migration of records and associated metadata to new storage media or formats so that records are retrievable and usable as long as needed to conduct agency business and to meet NARA-approved dispositions? (36 CFR 1236.20(b)(6))

- ◉ Yes
- ○ No
- ○ No, pending final approval
- ○ No, under development
- ○ Do not know

.. Click Next to save your current answers and move to Section IV: Access - FOIA.

.
The following questions are related to access to records under the Freedom of Information Act.

Agencies are required to have a Freedom of Information Act (FOIA) program (5 U.S.C. 552).

The ability to find records is essential for a successful FOIA program. The following questions related to your agency's FOIA program may require consultation with your agency's FOIA Officer.

*Please note that FOIA does not apply to Judicial Branch Agencies, as well as a few others. If FOIA does not apply to your agency, **please do not skip these questions**. Select the '**Not applicable' response provided**.*

. Q51. Has the COVID-19 pandemic disrupted your agency's ability to respond to FOIA requests?

- ⦿ Yes
- ○ No
- ○ Do not know
- ○ Not applicable, Judicial Branch Agency/FOIA does not apply

. Q52. Which of the following explains why FOIA has been impacted? (Choose all that apply)

- ☑ Paper records are inaccessible due to office closure
- ☐ FOIA case processing system is not available by remote access
- ☐ Electronic records are not accessible remotely
- ☐ Agency staff are not available to conduct searches
- ☐ Other, please be specific:

. Q53. Which of the following actions did your agency's FOIA program take in response to the COVID-19 pandemic? (Choose all that apply) ("*Guidance for Agency FOIA Administration in Light of COVID-19 Impacts*," DOJ, updated May 28, 2020, https://www.justice.gov/oip/guidance-agency-foia-administration-light-covid-19-impacts)

- ☑ Worked directly with requesters to tailor their requests for most efficient processing
- ☑ Posted a notice on the FOIA website informing requesters of most efficient way to make a request
- ☑ Posted a notice on the FOIA website informing requesters of any anticipated delays
- ☑ Included information about any anticipated delays in requester communication, including acknowledgment letters
- ☐ Used multitrack processing to further triage requests that could be processed more efficiently remotely
- ☑ Posted additional proactive disclosures for high public interest topics related to the COVID-19 pandemic
- ☐ Assessed technology to ensure most efficient administration of FOIA
- ☐

Other, please explain

[text area]

☐ Not applicable, Judicial Branch Agency/FOIA does not apply

. Q54. Which of the following describes the working relationship between the Agency Records Officer and the Chief FOIA Officer? (Choose all that apply)

☑ Work together on Information Technology (IT) requirements that benefit both programs
☐ Coordinate search terms to identify responsive records
☐ Identify programs or offices most likely to have responsive records
☑ Work together on high-profile or complex FOIA requests
☐ Provide training on records management and FOIA to each other's staff
☑ Training programs include the importance and relationship between FOIA and records management
☐ Other, please explain

[text area]

☐ None of the above
☐ Not applicable, Agency Records Officer and the Chief FOIA Officer are the same person
☐ Not applicable, Judicial Branch Agency/FOIA does not apply

. Q55. Please add any additional comments about your agency for Section IV. (Optional)

.

Section V: Disposition

This area is critical for successfully managing records. Agencies must follow the mandatory instructions contained in either agency-specific records schedules or the appropriate General Records Schedule to transfer permanent electronic records to NARA's legal custody. This section covers both creation and implementation of records schedules.

Records disposition refers to actions taken with regard to federal records that are no longer needed for current government business as determined by their appraisal pursuant to legislation, regulation, or administrative procedure. Disposition is a comprehensive term that includes both destruction and transfer of federal records to the National Archives of the United States. (36 CFR Parts 1222, 1224, 1225 and 1226)

The next series of questions relates to your agency's efforts to schedule its records.

. Q56. When was the last time your agency submitted a records schedule to NARA for approval? (36 CFR 1225.10)

○ FY 2020 - 2021
◉ FY 2018 - 2019
○ FY 2016 - 2017
○ FY 2014 - 2015
○ FY 2013 or earlier
○ Do not know

.
Q57. Does your agency periodically review agency-specific records schedules to ensure they still meet business needs, to identify gaps that may indicate unscheduled records, or to make needed revisions?

Note: An agency-specific records schedule means it covers items that are not covered by the General Records Schedules (GRS).

◉ Yes
○ No

○ Do not know

. Q58. Does your agency have agency-specific records schedules currently in use that include items approved before January 1, 1990?

○ Yes
◉ No
○ Do not know

. Q59. Are you currently reviewing agency-specific records schedules with items approved before January 1, 1990, for updating and/or rescheduling? (36 CFR 1225.22)

This question was not displayed to the respondent.

. Q60. Are records and information in your agency managed throughout the lifecycle [creation/capture, classification, maintenance, retention, and disposition] by being properly identified, classified using a taxonomy, inventoried, and scheduled? (36 CFR 1222.34, 36 CFR 1224.10, and 36 CFR 1225.12)

◉ Yes
○ To some extent
○ No
○ Do not know

. Q61. Does your agency disseminate *every* approved disposition authority (including newly approved records schedules and General Records Schedule items) to agency staff within six months of approval? (36 CFR 1226.12(a))

◉ Yes
○ No
○ Do not know

. Q62. Which of the following describes the disposition authority for email records being used by your agency? (Choose all that apply)

☑ GRS 6.1: Email Managed under a Capstone Approach; agency has an approved form NA-1005
☐ GRS 6.1: Email Managed under a Capstone Approach; agency does not have an approved form NA-1005
☑ Agency-specific email schedule
☐ Traditional records management (i.e., retention based on content, usually applied on an email-by-email basis, utilizing multiple NARA-approved disposition authorities)
☐ Email retention method has not been decided/scheduled by agency

☐ Do not know

☐ Other, please explain

[text box]

. Q63. Does the current NARA-approved form NA-1005 or agency-specific email schedule adequately reflect your existing organizational structure?

○ Yes

◉ To some extent

○ No

○ Do not know

. Q64. Why does the email schedule not adequately reflect, or only to some extent reflect, your existing organizational structure? (Choose all that apply)

☐ Agency-wide reorganization has taken place

☑ New positions that meet the criteria for permanent disposition need to be added

☑ Positions need to be removed because they have been removed from the organization

☐ Positions need to be removed because they no longer meet the criteria for permanent disposition

☑ Position title(s) need to be updated or changed

☐ Number of email accounts for a specific position(s) needs to be updated or changed

☐ Scope statements are inaccurate, or need to be changed

☐ Other, please explain

[text box]

. Q65. Does your agency track changes in Capstone accounts to ensure they are accurate and complete?

⦿ Yes
◯ To some extent
◯ No
◯ Do not know

. Q66. Please explain how your agency tracks changes to Capstone accounts. *(Be specific)*

EPA tracks all changes manually. The Capstone implementation team regularly receives weekly reports from HR showing the roster of all SES and political positions to include a list of all changes. This process is tedious because the team must determine which changes are listed for Capstone officials and then add them to our tracking sheet. This process is very time consuming as tracking these changes is not automated.

.. **Click Next to save your current answers and move to Section V: Disposition - Transferring Permanent Records.**

.
The next series of questions relates to transferring permanent records.

. Q67. Did your agency transfer permanent non-electronic records to NARA during FY 2021? (36 CFR 1235.12)

⦿ Yes
◯ No
◯ No - Transfers were impacted by the COVID-19 pandemic
◯ No - No records were eligible for transfer during FY 2021
◯ No - New agency, records are not yet old enough to transfer
◯ No - My agency does not have any permanent non-electronic records
◯ Do not know
◯

Other, please explain

[text area]

. Q68. Did your agency transfer permanent electronic records to NARA during FY 2021? (36 CFR 1235.12)

- ◉ Yes
- ○ No
- ○ No - Transfers were impacted by the COVID-19 pandemic
- ○ No - No electronic records/systems were eligible for transfer during FY 2021
- ○ No - New agency, electronic records/systems are not old enough to transfer
- ○ No - My agency does not have any permanent electronic records
- ○ Do not know
- ○ Other, please explain

[text area]

.. **Click Next to save your current answers and move to Section V: Disposition - Websites and Related Records.**

.
The next question relates to the management of websites and related records.

. Q69. Does your agency ensure that all records on agency websites are properly managed?

- ◉ Yes
- ○ No

○ Do not know

.. Click Next to save your current answers and move to Section V: Disposition - Storage.

.

The next series of questions relates to where your agency stores its inactive temporary and/or permanent records, regardless of format.

Commercial records storage facilities are private sector commercial facilities that offer records storage, retrieval, and disposition services.

An agency-operated records center is a records storage facility, operated by a federal agency and capable of storing more than 25,000 cubic feet of records. (36 CFR 1234)

. Q70. Does your agency store inactive temporary and/or permanent records in a commercial records storage facility?

⦿ Yes
○ No
○ Do not know

. Q71. Has the facility been approved by NARA? (36 CFR 1234.30(a)(2)&(e))

⦿ Yes
○ No
○ Do not know

. Q72. Does your agency store inactive temporary and/or permanent records in an agency-operated records center? (Note: This does NOT include agency staging areas and temporary holding areas.)

○ Yes
⦿ No
○ Do not know

. Q73. Has the facility been approved by NARA? (36 CFR 1234.30(a)(1))

This question was not displayed to the respondent.

. Q74. Is your agency making plans to move records from an agency-operated records center to a commercial records storage facility?

. Q75. Is your agency making plans to move records from an agency-operated records center to a Federal Records Center before December 31, 2022?

. Q76. Please add any additional comments about your agency for Section V. (Optional)

.. **Click Next to save your current answers and move to Section VI: Agency Demographics.**

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Section VI: Agency Demographics

This section covers some basic demographic-type information needed for analysis of the data gathered by the Records Management Self-Assessment.

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Q77. How many full-time equivalents (FTE) are in your agency/organization?

○ 500,000 or more FTEs
○ 100,000 – 499,999 FTEs
◉ 10,000 – 99,999 FTEs
○ 1,000 – 9,999 FTEs
○ 100 – 999 FTEs
○ 1 – 99 FTEs
○ Not Available

.
Q78. What other staff, offices, or program areas did you consult when you completed this self-assessment? (Choose all that apply)

- ☑ Senior Agency Official
- ☐ Office of the General Counsel
- ☑ Program Managers
- ☑ FOIA Officer
- ☑ Information Technology staff
- ☑ Records Liaison Officers or similar
- ☐ Administrative staff
- ☑ Other, please be specific:

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- ☐ None

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Q79. How much time did it take you to gather the information to complete this self-assessment?

- ○ Under 3 hours
- ○ More than 3 hours but less than 6 hours
- ◉ More than 6 hours but less than 10 hours
- ○ Over 10 hours

.

Q80. Did your agency's senior management review and concur with your responses to the 2021 Records Management Self-Assessment?

- ◉ Yes
- ○ No
- ○ Do not know

.

Q81. Are you the Agency Records Officer?

- ◉ Yes
- ○ No

Q82. Please provide the Agency Records Officer's contact information.

This question was not displayed to the respondent.

.

Q83. Does your agency use your Records Management Self-Assessment scores to measure the effectiveness of the records management program?

- ☑ Yes
- ☐ No
- ☐ Do not know
- ☐ Comments (Optional): (Please include in your comments how you use the Records Management Self-Assessment.)

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[text area]
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Q84. Do you have any suggestions for improving the Records Management Self-Assessment next year?

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No.
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.. **Please REVIEW your agency's RMSA responses by hitting the "Back" button at the bottom of each page. If you wish to make any changes, you must do this before hitting the "Next" button below. This is your last opportunity to make changes before you submit your agency's response!**

Embedded Data

Agency: Environmental Protection Agency

First Name: John

Last Name: Ellis

Scoring Results

Score

Mean Score:	97.00
Weighted Mean of Items:	1.01
Weighted Standard Deviation of Items:	1.40
Items:	96.00